



PATENT APPLICATION  
Docket No. 11675.114.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of )  
Kei-Yu Ko )  
Serial No.: 09/579,402 ) Art Unit  
Filed: May 25, 2000 ) 2815  
For: GATE STACK STRUCTURE )  
Examiner: Eugene Lee )

TRANSMITTAL FOR SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Transmitted herewith for filing and pursuant to 37 C.F.R. § 1.97 is a Supplemental Information Disclosure Statement.

37 CFR 1.97 (b)

The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

37 CFR 1.97 (c)

The Supplemental Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a final action under 37 CFR 1.113, or
2. a Notice of Allowance under 37 CFR 1.311,

whichever occurs first.

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Commissioner for Patents

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Also submitted herewith is:

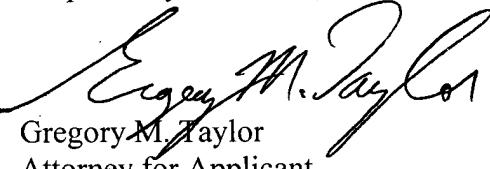
a certification as specified in 37 CFR 1.97(e);  
or  
 The fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).  
 Form PTO-1449 listing seven (7) references submitted for consideration.  
 Copies of seven (7) references listed on the Form PTO-1449.

The Commissioner is hereby authorized to charge payment of or any deficiency in the following fees associated with this communication, or to credit any overpayment thereof, to Deposit Account No. 23-3178. A duplicate of this sheet is enclosed.

Any fee required in relation to filing of this letter or any documents transmitted therewith.  
 The submission fee set forth in 37 CFR § 1.17(p) in the event the 37 CFR § 1.97(c) applies and the Examiner is not satisfied that any Promptness Certificate submitted meets the requirements of 37 C.F.R. § 1.97(e).

Dated this 28<sup>th</sup> day of February 2002.

Respectfully submitted,

  
Gregory M. Taylor  
Attorney for Applicant  
Registration No. 34,263



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PATENT TRADEMARK OFFICE

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PATENT APPLICATION  
Docket No. 11675.114.1

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Kei-Yu Ko )  
Serial No.: 09/579,402 ) Art Unit  
Filed: May 25, 2000 ) 2815  
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Examiner: Eugene Lee )

CERTIFICATE OF DEPOSIT UNDER 37 C.F.R. § 1.8

Commissioner for Patents  
Washington, D.C. 20231

Sir:

I hereby certify that the following documents are being deposited with the United States Postal Service as First Class Mail, postage prepaid, in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on the 28<sup>th</sup> day of February 2002.

- Supplemental Information Disclosure Statement
- Form PTO-1449 listing seven references
- Copies of seven references
- Form PTO-2038 for \$180.00
- Transmittal for Supplemental Information Disclosure Statement
- Postcard

Dated this 28<sup>th</sup> day of February 2002.

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Respectfully submitted,

Gregory M. Taylor  
Attorney for Applicant  
Registration No. 34,263



022901



PATENT APPLICATION  
Docket No. 11675.114.1

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THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Kei-Yu Ko

Serial No.:

09/579,402

) Art Unit  
2815

Filed:

May 25, 2000

For:

GATE STACK STRUCTURE

Examiner:

Eugene Lee

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

Commissioner for Patents  
Washington, DC 20231

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of

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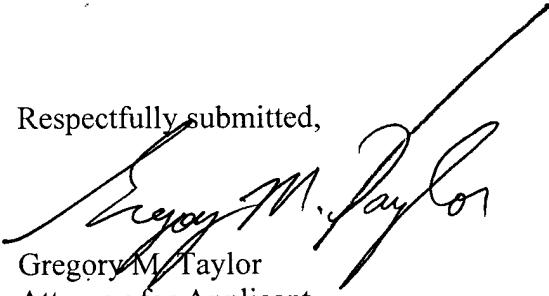
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Page 2

which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is enclosed.

Dated this 28<sup>th</sup> day of February 2002.

Respectfully submitted,



Gregory M. Taylor  
Attorney for Applicant  
Registration No. 34,263

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Applicant: Kei-Yu Ko  
 Serial No.: 09/579,402  
 Filing Date: May 25, 2000  
 For: GATE STACK STRUCTURE

SUPPLEMENTAL INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANTU.S. Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Issue Date</u>	<u>Name</u>	<u>Class</u>	<u>Sub Cls</u>
____ 1	5,883,436	12/25/9	Sadjadi et al.	257	760
____ 2	6,277,758 B1	08/21/01	Ko	438	706

Foreign Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Publ. Date</u>	<u>Country or Patent Office</u>	<u>Class</u>	<u>Sub Class</u>	<u>Trans-lation</u>
____ 3	JP 61-133555	12/03/84	Japan	H01L 29	78	yes
____ 4	0 496 614 A1	07/29/92	EPO	H01L 21	3105	yes
____ 5	0 465 044 A2	08/01/92	EPO	H01L 21	90	yes
____ 6	0 763 850 A1	03/19/97	EPO	H01L 21	311	yes

Other Documents  
(including author, title, pertinent pages, etc.)

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\_\_\_\_ 7 Van den Hoek et al., *Isotropic Plasma Etching of Doped and Undoped Silicon Dioxide for Contact Holes and Vias*, *J. Vac. Sci. Technol. A*, Vol. 7, No. 3, pp. 670-675, 1989.

References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication other item of information and a translation of the pertinent portions of foreign documents (if an existing translation readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner if any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Official Action Form PTO-1142.

Examiner: \_\_\_\_\_ Date Considered: \_\_\_\_\_